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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/576,684 Confirmation No. : 4662  
First Named Inventor : Thomas GREINER-STOEFFELE  
Filed : April 20, 2006  
TC/A.U. : To Be Assigned  
Examiner : To Be Assigned  
Docket No. : 102520.57766US  
Customer No. : 23911  
Title : Method From the Selection of Biomolecules From  
Biomolecule Variant Libraries

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 AND 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, the attached Form PTO-1449 lists documents which the Examiner may deem relevant to patentability of the claims of the above-identified application.

I. Time Period of Submission

This Information Disclosure Statement is submitted:

☒ 1) no later than three months from the application's filing date or 2) before the mailing date of the first Office Action on the merits (whichever is later) or 3) before a first Office Action after the filing of a Request for Continued Examination, and therefore no statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

☐ 2) after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, a Notice of Allowance, or an action closing prosecution (*Ex parte Quayle*), (whichever is earlier), and therefore Applicant is filing concurrently herewith:

☐ a Statement under 37 C.F.R. § 1.97(e); or

☐ a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

☐ 3) after either a Final Office Action or a Notice of Allowance, but before payment of the Issue Fee, and therefore Applicant is submitting herewith:

a Statement under 37 C.F.R. § 1.97(e); and

a fee in the amount of \$180.00 under 37 C.F.R. § 1.17(p).

II. Statement Under 37 C.F.R. § 1.97(e)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or

☐ I hereby state that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making a reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement; or

III. Statement under 37 C.F.R. § 1.704(d)

☐ I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

IV. Submission of Non-English Language Documents

☒ The following is a concise explanation of relevance of the non-English language documents listed in the attached Form PTO-1449:

☒ The relevance of document(s) B1 to the subject matter of the present invention is/are provided in the specification of the above-identified application.

☐ Corresponding foreign or international report(s) citing document(s) \_\_\_\_\_, together with an English-language version(s) (if not already in English) of that portion of the report(s) indicating the degree of relevance found by the foreign office(s) is/are submitted.

☐ English language family member publication(s) of document(s) \_\_\_\_\_ is/are noted on Form PTO-1449.

☒ English language abstract(s) is/are submitted for document(s)

**B1.**

☐ English translation(s) of the foreign language document(s)  
\_\_\_\_\_ is/are submitted herewith.

☐ Applicant submits the following explanations:  
\_\_\_\_\_.

**V. Continuations/Divisionals**

☐ Documents \_\_\_\_\_ were of record in parent application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, from which this application claims benefit. As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously submitted to or cited by the United States Patent and Trademark Office in the afore-mentioned parent application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

If necessary, this paper should be considered as an authorization to charge Deposit Account 05-1323, Attorney Docket No.: 102520.57766US, for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

September 12, 2007

  
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Examiner Signature		Date Considered	
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/576,684	
			Filing Date	April 20, 2006	
			First Named Inventor	Thomas GREINER-STOEFFELE	
			Art Unit	To Be Assigned	
Examiner Name	To Be Assigned				
Sheet	2	of	2	Attorney Docket Number	102520.57766US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C1	Zaccolo, M and Gherardi, E., "The Effect of High-Frequency Random Mutagenesis on in Vitro Protein Evolution: a Study on TEM-1 beta-Lactamase", J. Mol. Biol., 1999, Academic Press, pp. 775-783, Vol. 285. (Article No. jmbi.1998.2262 available online at <a href="http://www.idealibrary.com">http://www.idealibrary.com</a> )	
	C2	Cadwell, R.C. and Joyce, G.F., "Randomization of Genes by PCR Mutagenesis", PCR Methods and Applications, Vol. 2, pp. 28-33, 1992, by Cold Spring Harbor Laboratory ISSN 1054-9803/92.	
	C3	Eigen, M., McCaskill, J., and Schuster, P., "The Molecular Quasi-Species", Advance In Chemical Physics, 1989, John Wiley & Sons, Inc., pp. 149-263, Vol. LXXV.	
	C4	Joo, H., Lin, Z. and Arnold, F.H., "Laboratory Evolution of Peroxide-Mediated Cytochrome P450 Hydroxylation", Nature, 17 June 1999, Macmillan Magazines Ltd., pp. 670-673, Vol. 399. ( <a href="http://www.nature.com">www.nature.com</a> - letters to nature).	
	C5	Korbel, G.A., Lalic, G., and Shair, M.D., "Reaction Microarrays: A Method for Rapidly Determining the Enantiomeric Excess of Thousands of Samples", J. Am. Chem. Soc., 2001, pp. 361-362, Vol. 123.	
	C6	Samuelson, J.C. and Xu, S.Y., "Directed Evolution of Restriction Endonuclease BstYI to Achieve Increased Substrate Specificity", J. Mol. Biol., 2002, Elsevier Science Ltd., pp. 673-683, Vol. 319.	
	C7	Xia, G., Chen, L., Sera, T., Fa, M., Schultz, P.G., and Romesberg, F.E., "Directed Evolution of Novel Polymerase Activities: Mutation of a DNA Polymerase into an Efficient RNA Polymerase", Proc. Natl. Acad. Sci., 2002, pp. 6597-6602, Vol. 99, No. 10, USA.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent